

PATENT APPLICATION

Sheet 1 of 6

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

200316545-1

APPLICATION NO.

10/799811

CONFIRMATION NO.

APPLICANT

Randy L. Hoffman, et al.

FILING DATE

Herewith 3/12/2004

GROUP

2815 - LANDAU

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
<i>me</i>	1A	5744,864	08/28/1998	Cillessen, et al.	
<i>me</i>	1B	2003/0047785	03/13/2003	Kawasaki, et al.	
<i>me</i>	1C	2003/0111663	06/19/2003	Yagi	
<i>me</i>	1D	2003/0218221	11/27/2003	Wager, III, et al.	
<i>me</i>	1E	2003/0218222	11/27/2003	Wager, III, et al.	
<i>me</i>	1F	6,362,499	03/26/2002	Moise, et al.	
<i>me</i>	1G	6,391,462	05/21/2002	Jang	
<i>me</i>	1H	2003/0171085 2002/171085	11/21/2002	Suzawa, et al.	
<i>me</i>	1I	60/490,239	07/25/2003		Transparent Thin Film Transistor with Zinc-Tin Oxide Channel...
<i>me</i>	1J	10/763,353	01/23/2004		Semiconductor Device
<i>me</i>	1K	10/763,354	01/23/2004		Trnasistor including a Deposited Channel Region Having a...

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
<i>me</i>	1L	WO 97/06544	02/20/1997	Cillessen, et al.		
<i>me</i>	1M	EP11134811	09/19/2001	Kawasaki, et al.		
	1N					
	1O					
	1P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

<i>me</i>	1Q	Aoki, Akira, et al., "Tin Oxide Thin Film Transistors", Japan J. Appl. Phys., Vol. 9, p.582 (1970).
<i>me</i>	1R	Carcia, P.F., et al., "Transparent ZnO thin-film transistor fabricated by rf magnetron sputtering", Applied Physics Letters, Vol. 82, No. 7, pp. 1117-1119 (February 17, 2003).
<i>me</i>	1S	Carcia, P.F., et al., "ZnO Thin Film Transistors for Flexible Electronics", Mat. Res. Soc. Symp. Proc., Vol. 769, pp. H72.1-H72.6 (2003).

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Michael C. Jansen

DATE CONSIDERED

4/12/06

PATENT APPLICATION

Sheet 2 of 6

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	2L					
	2M					
	2N					
	2O					
	2P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

m	2Q	Fu, Shelton, et al., "MOS and MOSFET with Transistion Metal Oxides", SPIE Vol. 2697, pp. 520-527.
m	2R	Giesbers, J.B., et al., "Dry Etching of All-Oxide Transparent Thin Film Memory Transistors", Microeletronic Engineering, Vol. 35, pp. 71-74 (1997).
m	2S	Grosse-Holz, K.O., et al. "Semiconductive Behavior of Sb Doped SnO2 Thin Films", Mat. Res. Soc. Symp. Proc., Vol. 401, pp. 67-72 (1996).

EXAMINER

Michael C. [Signature]

DATE CONSIDERED

4/12/06

PATENT APPLICATION

Sheet 3 of 6

FORM PTO-1449 LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.	CONFIRMATION NO.
	200316545-1	1079984	
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	Randy L. Hoffman, et al.		
	FILING DATE	GROUP	
	Herewith 3/12/2004	2815 London	

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

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	3L				
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	3N				
	3O				
	3P				

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

m	3Q	Hoffman, R.L., et al., "ZnO-based transparent thin-film transistors", Applied Physics Letters, Vol. 82, No. 5, pp. 733-735 (February 3, 2003).
m	3R	Masuda, Satoshi, et al., "Transparent thin film transistors using ZnO as an active channel layer and their electrical properties", Journal of Applied Physics, Vol. 93, No. 3, pp. 1624-1630 (February 1, 2003).
m	3S	Nishi, Junya, et al., "High Mobility Thin Film Transistors with Transparent ZnO Channels", Jpn. J. Appl. Phys., Vol. 42, Part 2, No. 4A, pp. L347-L349 (April, 2003).

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DATE CONSIDERED

Munster C. John

4/10/06

PATENT APPLICATION

Sheet 4 of 6

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APPLICATION NO.

10799811

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	4N					
	4O					
	4P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

4Q	Ohya, Yutaka, et al., "Thin Film Transistor of ZnO Fabricated by Chemical Solution Deposition", Jpn. J. Appl. Phys., Vol. 40, Part 1, No. 1, pp. 297-298 (January, 2001).
4R	Pallecchi, Ilaria, et al. "SrTiO ₃ -based metal-insulator-semiconductor heterostructures" Applied Physics Letters, Vol. 78, No. 15, pp. 2244-2246 (April 9, 2001).
4S	Prins, M. W. J., et al., "A ferroelectric transparent thin-film transistor", Appl. Phys. Lett., Vol. 68, No. 25, pp. 3650-3652 (June 17, 1996).

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Mentor C. Jambun

DATE CONSIDERED

4/12/06

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PATENT APPLICATION

Sheet 5 of 6

FORM PTO-1449

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ATTY. DOCKET NO.

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APPLICATION NO.

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CONFIRMATION NO.

APPLICANT

Randy L. Hoffman, et al.

FILING DATE

Herewith 3/12/2004

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2815 London

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

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5M				
5N				
5O				
5P				

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

5Q	Seager, C.H., et al., "Charge Trapping and device behavior in ferroelectric memories", Appl. Phys. Lett., Vol. 68, No. 19, pp. 2660-2662 (May 6, 1996).
5R	Uneno, K., et al. "Field-effect transistor on SrTiO3 with sputtered Al2O3 gate insulator", Applied Physics Letters, Vol. 83, No. 9, pp. 1755-1757 (September 1, 2003).
5S	Wöllenstein, Jürgen, et al., "An insulated gate thin-film transistor using SnO2 as semiconducting channel, a possible new gas sensor device" The 11th European Conference on Solid State Transducers, pp. 471-474 (September 21-24, 1997).

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DATE CONSIDERED

PATENT APPLICATION

Sheet 6 of 6

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

200316545-1

APPLICATION NO.

18/799 811

CONFIRMATION NO.

APPLICANT

Randy L. Hoffman, et al.

FILING DATE

Herewith 3/12/2004

GROUP

8815 London

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

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OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

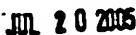
m	6Q	Yoshida, A., "Three Terminal Field Effect Superconducting Device Using SrTiO ₃ Channel" IEEE Transactions on Applied Superconductivity, Vol. 5, No. 2, pp. 2892-2895 (June, 1995).
m	6R	Solid-State Electronics, Vol. 7, Pergamon Press, Notes pp. 701-702 (1964).
m	6S	Anonymous, "Transparent and/or memory thin film transistors in LCD's and PLEAD_" Research Disclosure, p. 890 (July 1998).

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DATE CONSIDERED

Matthew C. Fisher

4/12/06



Substitute form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet	1	of	2
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PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Complete if Known

Application Number	10/799811
Filing Date	Mar 12, 2004
First Named Inventor	Randy Hoffman
Art Unit	2815
Examiner Name	unassigned LANDAU
Attorney Docket Number	200316545-1

U. S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No.	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)	MM-DD-YYYY			
		WO 03/040441	05-15-2003	Japan Science		
		EP 1 443 130	08-04-2004	Japan Science		

**Examiner
Signature**

Mauro C. [Signature]

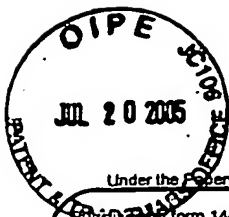
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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet 2 of 2

Complete if Known

Application Number	10/799811
Filing Date	Mar 12, 2004
First Named Inventor	Randy Hoffman
Art Unit	2815
Examiner Name	unassigned Landau
Attorney Docket Number	200316545-1

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.†	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
MR		OHTA, H; "Frontier of transparent oxide semiconductors"; Solid State Electronics, vol 47, no. 12, December 2003, pgs 2261-2267	
MR		MINAMI, TADATSUGU; "Transparent and conductive multicomponent oxide films..."; Journal of Vacuum Science & Technology, vol.17, no.4, July 1999, pgs 1765-1772	

Examiner Signature	<i>Matthew C. [Signature]</i>	Date Considered	4/12/06
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Examiner Name	Unassigned LANDAU
Attorney Docket Number	200316545-1

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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		Country Code ² Number ³ Kind Code ⁴ (if known)				
mm		JP 2003-086808 (ABSTRACT)	03-20-2003	Kawasaki	←	

Examiner Signature	<i>Matthew C. Loh</i>	Date Considered	4/12/06
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		Examiner Name	Unassigned Landrum
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Mz		Proceedings of the IEEE, Proceedings Letters, November 1968, pgs 2094-2095.	
Mz		Extended abstracts of the 2000 International Conference on Solid State Devices and Materials; Aug 29-31, 2000, Sendai Intl Center, pgs 128-129.	
Mz		OHTOMO, "Novel Semiconductor Technologies of ZnO Films towards...", IEICE Trans. Electron., Vol E83-C, No 10, Oct 2000, pgs 1614-1617.	

Examiner Signature	<i>Michael C. L...</i>	Date Considered	4/12/06
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